



15.30/5630

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:)	Group Art Unit: 2813
TSUGANE et al.)	
Serial No. 09/759,915)	Examiner: Nguyen, Tuan H.
Filed: January 13, 2001)	
For: SEMICONDUCTOR DEVICES AND)	
METHODS FOR MANUFACTURING)	
THE SAME)	

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

Mail Stop RCE
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

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Dear Sirs:

In accordance with 37 CFR §§ 1.56, 1.97, and 1.98, enclosed please find Form PTO-1449 listing the attached references which might be deemed material to the examination of the above-identified application.

A. Non-English Language References

- ☐ Enclosed is a search report for a counterpart application. The search report Examiner has provided comments on the relevancy of any non-English language references cited in the search report.
- ☐ The specification incorporates comments on the relevancy of Non-English language references.
- ☐ Set forth below are comments provided by the applicant's home country counsel on the relevancy of non-English language references:
- ☒ The Notice of Reasons of Rejection for Japanese Patent Application 2000-005335 (from which priority is claimed for U.S. Serial No. 09/759,915) lists the Japanese patent references cited on the attached form PTO-1449 including JP09-321242, JP09-232531, and JP11-150248. English language abstracts and computer generated translations (the accuracy of which is not certified) have been submitted for these three references.

- B. ☒ The information disclosure statement submitted herewith is being filed
- 1) within three months of the filing date of a national application other than a continued prosecution application under 1.53(d);
 - 2) within three months of the date of entry into the national stage as set forth in 1.491 in an international application;
 - 3) before the mailing date of a first Office Action on the merits;
 - 4) before the mailing date of a first Office Action after filing of a Request for Continued Examination under 1.114; or
 - 5) before the mailing date of a first Office Action after filing of a Continued Prosecution Application.
- C. ☐ The information disclosure statement transmitted herewith is being filed *after* the period specified in paragraph B, but before the mailing date of a final action under 1.113, a Notice of Allowance under 1.311, or an action otherwise closing prosecution, and is accompanied by:
- 1) a Statement under 1.97(e); or
 - 2) a fee of \$180 as set forth in 1.17(p).
- D. ☐ The information disclosure statement transmitted herewith is being filed *after* the period specified in paragraph C, but before payment of the issue fee, and is accompanied by:
- 1) a Statement under 1.97(e); and
 - 2) a fee of \$180 as set forth in 1.17(p).

STATEMENT UNDER 1.97(e)

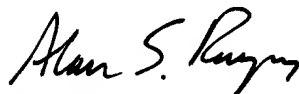
I, the person signing below, certify

- ☐ that each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement.
- 37 C.F.R. 1.97(e)(1).

- ☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 1.56(c) more than three months prior to the filing of the statement. 37 C.F.R. 1.97(e)(2).

- **Please charge any insufficiency or credit any overpayment to Deposit Account No. 50-0585.** A duplicate of this letter is enclosed for fee processing.

Respectfully submitted,



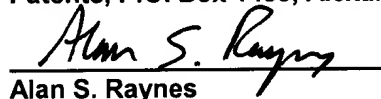
Alan S. Raynes
Reg. No. 39,809

July 11, 2003
Date

Konrad Raynes Victor & Mann, LLP
315 South Beverly Drive, Suite 210
Beverly Hills, CA 90212
(310) 556-7983 (tele general)
(310) 871-8448 (tele direct)
(310) 556-7984 (fax)
Customer No. 24033

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Alan S. Raynes

July 11, 2003
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STATEMENT UNDER 1.97(e)

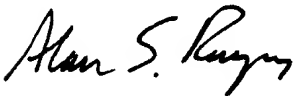
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July 11, 2003
(Date)

FORM PTO-1449
REV. 7.801U.S. Department of Commerce
PATENT AND TRADEMARK OFFICEAttorney Docket No.
15.30/5630Serial No.
09/759,915**INFORMATION DISCLOSURE STATEMENT**

(Use several sheets if necessary)

Applicant:
TSUGANE et al.Filing Date
1/13/01Group
2813**U.S. PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Name	Class	Sub-Class	Filing Date if Appropriate

FOREIGN PATENT DOCUMENTS

	Document Number	Date	Country	Class	Sub-Class	Translation	
						Yes	No
	09- 3 2 1 2 4 2	12Dec97	Japan			abst. + computer	
	09- 2 3 2 5 3 1	5Sep97	Japan ✓			abst. + computer	
	11- 1 5 0 2 4 8	2Jun99	Japan ✓			abst. + computer	

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	Notice of Reasons of Rejection for Japanese Patent Application No. 2000-005335 dated June 17, 2003 (from which priority is claimed for U.S. Serial No. 09/759,915 and which lists the three documents cited above).

Examiner	Date Considered
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* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.